

**BY ORDER OF THE COMMANDER
HEADQUARTERS, 11TH WING**

11TH WING INSTRUCTION 90-4

10 DECEMBER 2003



Command Policy

**COMPLIANCE AND SELF-INSPECTION
PROGRAMS**

COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

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This instruction establishes policies, procedures, and responsibilities to implement the 11th Wing's Compliance and Self-Inspection Programs. It implements **AFI 90-201, 01 October 2002, *Inspector General Activities***. It applies to all 11th Wing units and personnel, located in the National Capital Area and surrounding region.

SUMMARY OF REVISIONS

This instruction has been completely revised and requires a thorough review.

Chapter 1

PROGRAM DESCRIPTION

1.1. Concepts. The objective of the compliance and self-inspection programs is to validate a unit's adherence to requirements derived from federal, DoD and higher headquarters directives and compliance items identified in Compliance and Standardization Requirements Lists (C&SRLs). The Air Force Inspection Agency (AFIA) will certify 11th Wing compliance and identify best practices for wing-wide adoption and validate deficiencies that may represent a program or process failure. Individual C&SRL items are assessed as either Complies, Complies (with comments), or Does Not Comply.

Chapter 2

RESPONSIBILITIES

2.1. Roles and Responsibilities. It is the responsibility of all commanders and directors to ensure compliance and implementation of the provisions of this instruction.

2.1.1. Command responsibility is delegated to 11 WG/CVI.

2.1.2. HQ 11 WG/DS is responsible for maintaining a binder that contains checklists for all Staff functions and forwarding a copy of the binder to 11 WG/CVI.

2.1.3. Group Commanders are responsible for maintaining binders that contains checklists for all squadrons/divisions and forwarding a copy of the completed binder to 11 WG/CVI.

2.1.4. The following functional managers are responsible for compiling checklists and disseminating them to work centers where the process is implemented. The checklist must be prepared on AF Form 2519; General Purpose Checklist, and a copy must be electronically forwarded to 11 WG/CVI.

- HQ 11 WG/FM - Federal Automated System for Travel (FAST)

- HQ 11 WG/SE - Safety

- HQ 11 WG/DP - Military Personnel Flight and Commander Support Staff

- 11 CS/CC - Automated Data Processing Equipment (ADPE), Telephone Control, and Records Management

- 11 CONS/CC - Government Purchase Card Program

- 11 SFS/CC - Security

Chapter 3

UNIT COMPLIANCE INSPECTIONS

3.1. Purpose of the Inspections. The Unit Compliance Inspection (UCI) is used to validate unit adherence to actions required by law, Executive Orders, safety guidelines and DoD and higher headquarters directives, that if not complied with, could result in death, serious injury, significant legal liabilities, penalties or significant mission impact. AFIA will focus inspection efforts on critical compliance objectives (CCOs) and use sequential and acceptance sampling techniques for core compliance items (CCIs) and general compliance items (GCIs).

3.2. C&SRL Development Process.

3.2.1. Each unit or staff agency is responsible for drafting, formatting, coordinating, obtaining approval, and forwarding their C&SRL to their Group Commander or 11 WG/DS. The primary purpose of the C&SRL is to facilitate unit compliance with applicable directives (i.e., Air Force Instructions, 11 Wing instructions or supplements) and to promote standardization throughout the command in order to focus mission efforts. As a minimum, each unit or staff agency must review their C&SRL's and update as required. HQ 11 WG/DS and Group Commanders must forward updated C&SRLs to 11 WG/CVI whenever changes are made.

3.2.2. Each C&SRL must be identified by the publication series that covers the area of responsibility. For example, 11 CS will use 90-33, Communications and Information.

3.2.3. C&SRLs will consist of the following items: (Refer to [Attachment 1](#))

- **CRITICAL COMPLIANCE OBJECTIVES (CCO)** are defined and identified by the Air Force and Wing as key result areas for a successful mission accomplishment including, but not limited to items where non-compliance could result in serious injury, loss of life, excessive cost, or litigation. **BOLD AND ALL CAPS FORMAT.**

- **CORE COMPLIANCE ITEMS (CCI)** is defined as areas that require special vigilance and are important to the overall performance of the unit, but are not deemed Critical. Non-compliance would result in some negative impact to mission performance or could result in injury, unnecessary cost, or possible litigation. CCIs are shown in **ALL CAPS FORMAT.**

- **General Compliance Items (GCI)** are defined as areas deemed fundamental to successful overall performance of the unit, but non-compliance would result in minimal impact on mission accomplishment or would be unlikely to result in injury, increased cost, or possible litigations. GCIs are shown in sentence case format.

3.3. Inspection Process.

3.3.1. UCIs will be scheduled when key personnel and supervisors are present; AFIA will conduct UCIs at least once every 4 years on all wings. During UCIs, unit or work center C&SRLs will be used. The C&SRLs are subject to inspection for currency and validity.

3.3.2. Results of the UCI will be documented in an evaluation report. Commanders and directors will receive a formal out briefing. The Inspection Team Chief will prepare and authenticate the final report and disseminate it to the HQ 11 WG/CC.

3.3.3. Each unit or staff agency will reply to HQ 11 WG/CVI within 30 days of the report indicating estimated completion dates (ECD) for discrepancies identified. Written follow-up replies are required quarterly until the problem is resolved. (Refer to [Attachment 2](#), (Sample Format) Discrepancy Report).

3.4. Functional Areas. The following 11th Wing activities are subject to UCIs:

Wing Staff Agencies

- Personnel
- Plans and Programs
- Comptroller
- Chaplain
- Judge Advocate
- Inspector General
- Director of Staff
- History
- Safety
- Command Post
- Public Affairs
- Military Equal Opportunity
- Equal Employment Opportunity
- Ceremonies and Protocol
- Civilian Personnel

11th Operations Group

- Arlington Chaplains
- USAF Band
- USAF Honor Guard

11th Mission Support Group

- 11th Civil Engineering Squadron
- 11th Communications Squadron
- 11th Contracting Squadron
- 11th Logistic Readiness Squadron
- 11th Mission Support Squadron
- 11th Security Forces Squadron
- 11th Services Division

11th Medical Group

- 11th Medical Operations Squadron
- 11th Dental Squadron
- 11th Medical Support Squadron

3.5. Compliance Trend Analysis. 11 WG/CVI will track discrepancies from previous Wing UCIs. This trend will indicate noncompliance rates and assist units in preparing and tailoring their training programs.

3.6. 30-Day Notice Evaluations. All units assigned to the 11th Wing are subject to 30-day notice UCIs. They will encompass each facet of a scheduled evaluation and will be administered by personnel assigned to or augmenting 11 WG/CVI. As a general rule, no unit will receive a 30-day notice evaluation within 45 days of completing a self-inspection.

Chapter 4

SELF-INSPECTION PROGRAMS

4.1. Self-Inspection (SI) Program. The SI Program enables commanders and directors to evaluate the functional performance of their mission. Each organization is required to conduct a semi-annual self-inspection in February and August.

4.1.1. The SI program is designed to augment the UCI program. 11 WG/DS and Group Commanders will maintain Self-Inspection Binders that contain applicable C&SRLs and the most recent SI, UCI, staff-assistance, visit and SAF/IG inspection reports, and any other material directed by 11 WG/CVI. Self-inspection documents must be maintained in a binder, which clearly defines its contents. The self-inspection book will be organized IAW [Attachment 3](#) and contain a review log.

4.1.2. Unit SIs will be conducted semi-annually between 1-28 February and 1-30 August and results must be forwarded through the appropriate chain of command to 11 WG/CVI NLT 15 March and 15 September respectively. SI results will be briefed to the 11 WG/CC within two weeks of submission to CVI. A higher-level inspection or SAV may substitute if conducted during the previous six months. Units will report findings quarterly through the appropriate unit commanders for review until they are closed. After review, a copy of each report and subsequent findings will be forwarded to and maintained at 11 WG/CVI. (See [Attachment 4](#) for sample of report).

4.1.3. Staff agency chiefs and commanders at group and squadron levels must designate a primary and alternate Self-Inspection Monitor. These individuals must be knowledgeable of all unit compliance requirements. A copy of the appointment memorandum must be forwarded to 11 WG/CVI.

WILLIAM A. CHAMBERS, Colonel, USAF
Commander

Attachment 1

SAMPLE FORMATTING INSTRUCTIONS FOR C&SRLS

GROUP	SQUADRON	OFFICE SYMBOL	PUBLICATION SERIES	OPR	DATE
11 MSG	11 SFS	SFSOI	31	John Doe	Self explanatory

Subject: Anti-terrorism (AT) and Force Protection (FP)

ITEM NUMBER	ITEM	REFERENCES	COMPLY	NON COMPLY	COMPLIES WITH COMMENTS
	<i>INSTALLATION COMMANDER- Does the Installation Commander ensure:</i>				
CCO-1	AN AT/FP PROGRAM IS ESTABLISHED TO COMBAT LOCAL TERRORIST THREATS? DOES THIS PROGRAM SUPPORT THE USAF AT PROGRAM?	AFI 31-210 PARA 2.14.1.			
CCI-3	DOES THE INSTALLATION ATO ANALYZE AND TRACK INSTALLATION VUNERABILITIES AND COORDINATE MIGRATION MEASURES	AFI 10-245 PARA 2.6.4.3			
GCI-4	AFOSH DETACHMENT Does the Installation AFOSH Detachment				
4.1	Provide AT vulnerability assessments for facilities, units upon request?	AFI 31-210 PARA 4.1.1.4			

Attachment 2

(SAMPLE FORMAT) DISCREPANCY REPORT FORMAT

Date

MEMORANDUM FOR 11 WG/CVI

FROM: (Your Organization)

SUBJECT: Compliance Inspection Responses

1. A Unit Compliance Inspection of the (Your Organization) was conducted 17 – 25 Nov 02. The purpose was to determine the level of compliance with existing requirements and directives. This inspection was conducted in accordance with AFI 90-201.

2. Attached is the corrective action plan for each area rated not in compliance within my organization.

3. Refer questions to (Name of POC).

Group CC's/Dir's Signature Block

1. Title: Financial Management (Comptroller Programs)

2. Finding: #(B001-FINDING) (Ref: AFI 65-202, Para 4.2) Quality Assurance manager did not ensure discrepancy-tracking forms were established for self-inspection items found not in compliance.

3. Steps Taken to Correct Deficiency and Preclude Recurrence:

Progress:

a.

b.

c.

4. ECD:

5. POC: (Rank, Name, Org, DSN)

Attachment 3**SELF-INSPECTION BOOK**

1. The first page of the Self-Inspection Book will list a table of contents.
2. Section I, "SELF-INSPECTION REVIEW," Use AF Form 3132, *General Purpose Form*, to record semi-annual, compliance, and other wing inspections. The following titles will be used in columns starting from left to right: Type of Inspection, Date of Inspection and OPR signature.
3. "SECTION II – SELF-INSPECTION APPOINTMENT LETTER."
4. "SECTION III – SELF-INSPECTION CHECKLIST."
5. "SECTION IV – SELF AND UNIT COMPLIANCE INSPECTION REPORT AND FINDINGS."
(NOTE: Place the most current inspection on top.)
6. "SECTION V – INSPECTION GUIDES." (NOTE: For work center's C&SRL if different than the SI checklist.)
7. "SECTION VI – HQ INSPECTION REPORTS AND REPLIES."
8. "SECTION VII – STAFF ASSISTANCE VISITS AND REPLIES."
9. "SECTION VIII – SPECIAL INTEREST ITEMS."
10. "SECTION IX – OTHER RELATED MATERIAL." (NOTE: For reference material forwarded by 11 WG/CVI such as: Crosstell, TIG Briefs, etc.)

Attachment 4

THE CI REPORT

MEMORANDUM FOR 11 WG/CVI Date:

FROM: Reporting Activity

SUBJECT: Compliance Self Inspection

1. Annual inspection of the Security Forces Squadron was conducted (date). The purpose was to determine the level of compliance with existing requirements and directives. This inspection was conducted in accordance with 11 WGI 90-4 using the previous inspection report and the C&SRLs.

2. Personnel conducting the inspection:

3. Personnel contacted during the inspection:

4. Refer questions to 11 WG/CVI or the team leader.

5. Findings (See attached Discrepancy Report)

a. Complies:

Comments:

b. Complies with Comments:

Comments:

c. Does Not Comply:

Comments:

JOHN DOE, Lt Col, USAF

Commander/Director